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RADEWAR.			Appli	icati	on Number	09/635,34	5	-
				g Da	te	August 9,	2000	1
TRANS	MITTAL FOR	M	First	Nan	ned Inventor	Albert K.	Chin	
1 '	orrespondence during po filed application)	endency of	Grou	ıp Aı	t Unit Number	3783		
			Exam	nine	r Name	Thomas C	. Bar	rett
Total Number of Pag	ges in This Submission	11*	Attori	ney	Docket Number	80121-071	79	
	ENCL	OSURES	(che	eck	all that apply	<u>')</u>		
Fee Transmittal Form (in duplicate) Check Enclosed Return Receipt Postcard Response to Notice to File Missing Parts Assignment & Recordation Cover Sheet Declaration Power of Attorney Application Data Sheet Supplemental Information Disclosure Statement & PTO/SB/08A Copies of IDS Non-US Cited References Request for Corrected Filing Receipt Request for Correction of Recorded Assignment Amendment/Response: [] Page(s)					Issue Fee Transr Letter to Chief Dr Formal Drawing(s	raftsperson s):) of Figure(s) [ication to Boar ication to Grou Brief, Reply Bri Priority Docum	d of Ap ip ief) nent(s)	
Status Request Revocation and	t d Substitute Power of Att	orney						
REMARKS: *Page of	count does not include ci	ted reference	es.					
	SIGNA	TURE OF	ATTO	DRŅ	IEY OR AGEN	IT		
Signature:	Signature: Q.C. Smusth							
Attorney/Reg. No.:	Albert C. Smith, Reg.	No. 20,355				Dated:	4	28/05
CERTIFICATE OF MAILING								
first class mail in an env If the Express Mail Maili	correspondence, including the relope addressed to: Comming Number is filled in below, to Addressee" service pur	ne enclosures i ssioner for Pat then this corre	identified ents, P.0 esponde	d abo O. Bo ence i	ove, is being deposite ox 1450, Alexandria,	VA 22313-1450	on the d	late shown below.
Signature:		a-	<u>ر</u>		Smith	_		
Typed or Printed Na	me: Albert C. Smith					Dated:	4	28(05

FEE TRANSMITTAL for FY 2005 Patent fees are subject to annual revision poplicant claims small entity status. See 37 CF 127 April 120 00

Patent fees are subject to a	
Applicant claims small entity status	. See 37 CFK 1
TOTAL AMOUNT OF PAYMENT	(\$) 180.00

	Complete if Known						
pplication Number	09/635,345						
Filing Date	August 9, 2000						
irst Named Inventor	Albert K. Chin						
Examiner Name	Thomas C. Barrett						
Art Unit	3738						
Attorney Docket No.	80121-07179						

METHOD OF PAYME				F	EE CALCULATION (continued)		
□ Check □ Credit Card □ □ Deposit Account:	Money Order Other None	3. AD	DITION	AL FEE	s	·	
Deposit Account Number	19-2555	<u>Large l</u>	<u>Intity</u>	_Small	Entity	Fee Description	Fee Paid
Deposit Account Name	Fenwick & West LLP	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
	rized to: (check all that apply)	1051	130	2051	65	Surcharge - late filing fee or oath or declaration	
I = * ``	elow 🛛 Credit any overpayments	1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
	or any underpayment of fee(s) due 1.17 during the pendency of this	1053	130	1053	130	Non-English specification	
application	7. 17 during the periodicy of this	1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
	elow, except for the filing fee to	1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
the above-identified depo		1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
FEE CA	LCULATION	1251	120	2251	60	Extension for reply within first month	
1. BASIC FILING FEE	**	1252	450	2252	225	Extension for reply within second month	
Large Entity Small Entity		1253	1020	2253	510	Extension for reply within third month	
Fee Fee Fee	Fee Description Fee Paid	1254	1,590	2254	795	Extension for reply within fourth month	
Code (\$) Code (\$)		1255	2,160	2255	1,080	Extension for reply within fifth month	
		1401 1402	500 500	2401 2402	250 250	Notice of Appeal	
· ·		1402	1000	2402	200 500	Filing a brief in support of an appeal Request for oral hearing	
		1451	1,510	1451	1,510	Petition to institute a public use proceeding	
		1452	500	2452	250	Petition to revive - unavoidable	
, ѕивтот	AL (1) (\$) 0	1453	1,500	2453	750	Petition to revive - unintentional	
2. EXTRA CLAIM FEES	FOR UTILITY AND REISSUE	1501	1,400	2501	700	Utility issue fee (or reissue)	
Extra	Claims Fee from Fee Paid	1502	800	2502	400	Design issue fee	
Total Claims -20**≈	х =	1503	1100	2503	550	Plant issue fee	
Independent Claims	X =	1460		1460		Petitions to the Director	
Multiple Dependent	=	1807	, 50	1807	50	Processing fee for Provisional Applications	
Large Entity Small Entity		1806	180	1806	180	Submission of Information Disclosure Stmt	180
Fee Fee Code (\$)	Fee Description	8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1202 50 2202 25 (Claims in excess of 20	1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))	
1201 200 2201 100 ₁	ndependent claims in excess of 3	1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))	
1203 360 2203 180	Multiple dependent claim, if not paid	1801	790	2801	395	Request for Continued Examination (RCE)	
1204 200 2204 100	*Reissue independent claims over original patent	1802	900	1802	900	Request for expedited examination of a design application	
1205 50 2205 25	*Reissue claims in excess of 20 and over original patent	Other fe	ee (specify	/)			
SUBTOTA	AL (2) (\$) 0					SUBTOTAL (3) (\$) 180.0	0
or number previously paid, if gi	<u></u>	*Reduce	d by Basic	: Filing Fe	ee Paid	305101AL (3) (4) 100.0	
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SUBMITTED BY					Complete (if applicable)
Name (Print/Type)	Albert C. Smith	Registration No. (Attorney/Agent)	20,355		Telephone (650) 335-7937
Signature		a c Smit	#t_	Date	4/28/05

IN THE UNITED STATES PATEN TRADEMARK OFFICE

APPLICANT:

Albert K. Chin

APPLICATION NO.:

09/635.345

FILING DATE:

August 9, 2000

TITLE:

Apparatus And Methods For Subxiphoid Endoscopic Access

EXAMINER:

Thomas C. Barrett

GROUP ART UNIT:

3738

ATTY. DKT. NO.:

80121-07179

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below:

Albert C. Smith, Reg. No.: 20,355

MAIL STOP AMENDMENT COMMISSIONER FOR PATENTS P.O. BOX 1450 **ALEXANDRIA, VA 22313-1450**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

Concise explanations in accordance with the provisions of 37 CFR § 1.98 of the portions of the references not in the English language believed to be relevant are as follows:

- B1 The figure and associated text of this reference are believed to disclose an intravascular device for performing vascular surgery under endoscopic viewing.
- B4 Figure 2 and the associated written description are believed to disclose an endoscopic device for optically examining an orifice or cavity in a patient.

- B7 Figures 1 and 2 and the associated text of this reference are believed to disclose a surgical device on a flexible extension.
- B8 The figures and associated text of this reference are believed to disclose an endoscopic device for penetrating tissue in the leg of a patient.
- C2 Figures 1 and 5-7 and the associated written descriptions are believed to disclose subxiphoid access to the pericardium for penetration of the pericardium to install electrodes for an implantable pacemaker onto the myocardium.

This Informa	is Information Disclosure Statement is being filed:						
	within	three m	onths of the filing date of the application, or date of entry into				
	the nat	ional sta	age of an international application, or before the mailing date of				
	a first o	office ac	ction on the merits, whichever event last occurred;				
	before	the mai	ling of a first official action after the filing of a request for				
	continu	nued examination (RCE) under 37 CFR § 1.114;					
\boxtimes	after th	fter three months of the filing date of this national application or the date of					
•	entry o	entry of the national stage in an international application, or after the mailing					
	date of	the firs	t official action on the merits, whichever event last occurred, but				
	before the mailing date of the first to occur of either: (1) a final action under						
	37 CFR §1.113; or (2) an action that otherwise closes prosecution in the						
	applica	application, and:					
	\boxtimes	attached hereto is the fee set forth under 37 CFR §1.17(p) for					
		submi	ssion of this Information Disclosure Statement under 37 CFR.§				
		1.97(c); OR				
		Applic	cant certifies pursuant to 37 CFR § 1.97(e) that:				
			each item of information contained in this Information				
			Disclosure Statement was first cited in a communication from				
			a foreign patent office in a counterpart foreign application not				
			more than three months prior to the filing of this Statement;				
			OR				
			no item of information contained in this Information				
			Disclosure Statement was cited in a communication from a				
			foreign patent office in a counterpart foreign application and,				
			to the knowledge of the person signing this certification after				
			making reasonable inquiry, no item of information contained				
			in this Statement was known to any individual designated				
			under 37 CFR § 1.56(c) more than three months prior to the				
			filing of this Statement:				

		on or	before	the payment of the issue fee but after the mailing date of the first
		to occ	ur of ei	ither: (1) a final action under 37 CFR § 1.113; (2) a notice of
		allow	ance un	der 37 CFR § 1.311; or (3) an action that otherwise closes
		prose	cution i	n the application, and:
			Appli	cant certifies pursuant to 37 CFR. § 1.97(e) that:
				each item of information contained in this Information
				Disclosure Statement was cited in a communication from a
				foreign patent office in a counterpart foreign application not
			,	more than three months prior to the filing of this Statement;
				no item of information contained in this Information
				Disclosure Statement was cited in a communication from a
				foreign patent office in a counterpart foreign application and,
				to the knowledge of the person signing this certification after
				making reasonable inquiry, no item of information contained
				in this Statement was known to any individual designated
				under 37 CFR § 1.56(c) more than three months prior to the
				filing of this Statement; AND
			attach	ned hereto is the fee set forth under 37 CFR §1.17(p) for
			submi	ission of this Information Disclosure Statement under 37 CFR.§
			1.97(e); OR
		after t	he payn	nent of the issue fee. Applicant requests that the information
		contai	ned in t	this Information Disclosure Statement be placed in the file
		accord	ding to	37 CFR § 1.97(i), although the information may not be
		consid	lered by	the USPTO.
				f each listed reference that may be material to the examination of for which there may be a duty to disclose.
П	-	-	-	es, under 35 U.S.C. § 120, on the earlier filing date of prior
				, filed on, and the references cited therein are hereby
				ot required to be provided in this application under 37 CFR §
	1.98(d		u10 110	required to be provided in this application under 37 of 10 g
☒.	•	•	foreign	n patent documents and non-patent literature cited herein are
_	enclos	_		r parent decaments and non parent merature eried north are
П			informa	ation contained in this Information Disclosure Statement was
				ation from a foreign patent office in a counterpart application,
				on was not received by any individual designated in 37 CFR §
				rty days prior to the filing of this Information Disclosure
	,	•		§ 1.704(d).
	Juion		. 0110	, (4).

PATENT

	Applicant submits that no	o fee is required for the consideration of this Information
	Disclosure Statement.	
Co	onsideration of the listed refere	ences and favorable action are solicited.
		Respectfully submitted,
		ALBERT K. CHIN
Dated:	4/28/05	By: a.C. Smith
	,	Albert C. Smith, Reg. No.: 20,355
		Fenwick & West LLP
		Silicon Valley Center
		801 California Street
		Mountain View, CA 94041
		Tel.: (650) 335-7296
		Fax.: (650) 938-5200

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Substitute for form 1449A/PTO Complete if Known Application No. 09/635,345 INFORMATION DISCLOSURE **Filing Date** August 9, 2000 STATEMENT BY **First Named Inventor** Albert K. Chin Art Unit 3738 **Examiner Name** Thomas C. Barrett Attorney Docket Number 80121-07179 Sheet 5

U.S. PATENT DOCUMENTS						
		Document No.				
Examiner Initials*	Cite No.1	Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		
	A1	US-6,706,052	03-16-2004	Chin		
	A2	US-6,607,547	08-19-2003	Chin		
	А3	US-6,569,082	05-27-2003	Chin		
**	A4	US-6,428,556	08-06-2002	Chin		
	A5	US-6,206,004	03-27-2001	Schmidt et al.		
	A6	US-6,156,009	12-05-2000	Grabek		
	A7	US-6,039,748	03-21-2000	Savage et al.		
•	A8	US-6,036,714	03-14-2000	Chin		
•	A9	US-6,030,406	02-29-2000	Davis et al.		
	A10	US-5,904,711	05-18-1999	Flom et al.		
	A11	US-5,860,997	01-19-1999	Bonutti		
	A12	US-5,810,878 ·	09/22/1998	Burel et al.		
•	A13	US-5,800,449	09/01/1998	Wales		
	A14	US-5,772,680	06-30-1998	Kieturakis et al.		
_	A15	US-5,762,604	06.09.1998	Kieturakis		
	A16	US-5,738,628	04-14-1998	Sierocuk et al.		
	A17	US-5,730,756	03-24-1998	Kieturakis		
	A18	US-5,728,148	03-17-1998	Bostrom et al.		
	A19	US-5,716,392	02-10-1998	Bourgeois et al.		
	A20	US-5,702,417	12-30-1997	Hermann		
	A21	US-5,695,504	12-09-1997	Gifford, III et al.		
	A22	US-5,685,820	11-11-1997	Riek et al.		
	A23	US-5,667,520	09-16-1997	Bonutti		
	A24	US-5,653,726	08-05-1997	Kieturakis		
	A25	US-5,653,722	07-1997	Kieturakis		

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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	Substitute for fe	orm 1449,	APTO		Complete if Known
INFO		פוח ו	CLOSUDE	Application No.	09/635,345
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Filing Date	August 9, 2000
				First Named Inventor	Albert K. Chin
				Art Unit	3738
				Examiner Name	Thomas C. Barrett
Sheet	2	of	5	Attorney Docket Number	80121-07179

<u></u>	U.S. PATENT DOCUMENTS						
		Document No.					
Examiner Initials*	Cite No.1	Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document			
	A26	US-5,613,947	03-25-1997	Chin			
	A27	US-5,607,441	03-04-1997	Sierocuk et al.			
	A28	US-5,601,589	02-11-1997	Fogarty et al.			
	A29	US-5,601,576	02/11/1997	Garrison			
	A30	US-5,591,192	01-07-1997	Privitera et al.			
	A31	US-5,569,292	10-29-1996	Scwemberger et al.			
	A32	US-5,569,291	10-29-1996	Privitera et al.			
	A33	US-5,551,947	09-03-1996	Kaali .			
	A34	US-5,540,711	07-30-1996	Kieturakis et al.			
	A35	US-5,514,153	05-07-1996	Bonutti			
	A36	US-5,496,345	03-05-1996	Kieturakis et al.			
	A37	US-5,376,076	12-27-1994	Kaali			
	A38	US-5,373,840	12-20-1994	Knighton			
	A39	US-5,336,252	08-09-1994	Cohen			
	A40	US-5,334,150	08-02-1994	Kaali			
	A41	US-5,331,975	07-26-1994	Bonutti			
	A42	US-5,271,380	12-21-1993	Riek et al.			
	A43	US-5,215,521	06-01-1993	Cochran et al.			
	A44	US-5,183,464	02-02-1993	Dubrul et al.			
	A45	US-5,163,949	11-1992	Bonutti			
	A46	US-5,150,706	09-29-1992	Cox et al.			
	A47	US-5,143,082	09-01-1992	Kindberg et al.			
	A48	US-5,131,905	07-21-1992	Grooters			
	A49	US-4,957,477	09-18-1990	Lundback			
	A50	US-4,921,483	05-01-1990	Wijay et al.			

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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	Substitute for f	form 1449A	PTO FRADEN		Complete if Known
INE	DRMATION	א טופט		Application No.	09/635,345
				Filing Date	August 9, 2000
STATEMENT BY APPLICANT				First Named Inventor	Albert K. Chin
				Art Unit	3738
				Examiner Name	Thomas C. Barrett
Sheet	3	of	5	Attorney Docket Number	80121-07179

U.S. PATENT DOCUMENTS							
		Document No.					
Examiner Initials*	Cite No.1	Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document			
	A51	US-4,863,440	09-05-1989	Chin ·			
	A52	US-4,784,133	11-15-1988	Mackin			
	A53	US-4,779,611	10-25-1988	Grooters et al.			
	A54	US-4,662,371	05-05-1987	Whipple et al.			
	A55	US-4,630,609	12-23-1986	Chin			
	A56	US-4,526,175	07-02-1985	Chin et al.			
	A57	US-4,493,711	01-15-1985				
	A58	US-4,479,497	10-30-1984	Fogarty et al.			
	A59	US-4,318,410	03-09-1982	Chin			
·	A60	US-4,271,839	06-09-1981	Fogarty et al.			
	A61	US-4,270,549	06-02-1981	Heilman			
	A62	US-RE29,088	12-28-1976	Shaw			
	A63	US-3,934,115	01-20-1976	Peterson			
	A64	US-3,882,854	05-13-1975	Hulka et al.			
	A65	US-3,870,048	03/11/1975	Yoon			
	A66	US-3,856,016	12-24-1974	Davis			
	A67	US-3,357,433	12-12-1967	Fourestier et al.			
	A68	US-3,336,916	08-22-1967	Edlich			
	A69	US-3,185,155	05-25-1965	Slaten et al.			
	A70	US-2,944,552	07-12-1960	Cannon .			
	A71	US-2,868,206	01-13-1959	Stoesser			
	A72	US-2,316,297	04-13-1943	Southerland et al.			
	A73	US-2,028,635	01-21-1936	Wappler			
	A74	US-2,011,169	08-13-1935	Wappler			
	A75	US-1,867,624	07-19-1932	Hoffman			

Examiner	Date
Signature	Considered

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

4

5

Sheet

Complete if Known					
Application No.	09/635,345				
Filing Date	August 9, 2000				
First Named Inventor	Albert K. Chin				
Art Unit	3738				
Examiner Name	Thomas C. Barrett				
Attorney Docket Number	80121-07179				

			U.S. PAT	ENT DOCUMENTS
		Document No.		
Examiner Initials*	Cite No.1	Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A76	US-1,727,495	12-08-1926	Wappler
	A77	US-207,932	09-10-1878	Alvord

FOREIGN PATENT DOCUMENTS							
		Foreign Patent Document					
Examiner Initials*	Cite No. ¹	Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Τ.		
	B1	DE 39 42 589	22.12.1989	Olympus Optical Co.			
-	B2	EP 0791330 A2	08/27/1997	Cardiothoracic Systems, Inc.			
•	В3	EP 0 642 764	13.09.1994	United States Surgical Corporation			
	B4	FR 1 370580	1962	Fourestier et al.			
	B5	GB 2 082 459	13.08.1981	Atrium Medical			
·	B6	GB 2 195 540	18.09.1987	Anthony James Milne			
	B7	SU 510235	15.04.1976				
	B8	SU 1371689	20.03.1986				
	B9	WO 97/26831	07-31-1997	Chin, Albert K.			
	B10	WO 96/32882	10/24/1996	Heartport, Inc.			

	OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶				
	C1	BERNHARD, Victor M. et al., "Cardiovascular Endoscopy: Historical Perspectives", Endovascular Surgery, 1989 W.B. Saunders Company, pp. 13-30					
	C2	CARPENTIER, A., "Technique d'implantation de pace-maker par une voie d'abord abdominale sous-xyphoidienne," La Presse Medicale, Masson et Cie, Editeurs, Paris, Vol. 76, No. 2, January 13, 1968, 2 pp.					
	Comedicus Incorporated, Equity Investment Information Sheet, May 17, 1999						

Examiner Signature	Date Considered	
Oignature	Considered	

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INEO		יסוח ו	CLOSURE	Application No.	09/635,345
			PPLICANT	Filing Date	August 9, 2000
SIAI	EMENTE	o i Ar	PLICANI	First Named Inventor	Albert K. Chin
				Art Unit	3738
			•	Examiner Name	Thomas C. Barrett
Sheet	5	of	5	Attorney Docket Number	80121-07179

		OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS	·
Examiner Cite Initials* No.1		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
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